

FILE MAINTENANCE AND DISPOSITION PLAN Date Prepared: 11/22/06 Updated: 02/07/07, 02/28/07, 03/13/07, ORC					
OFFICE NAME: Office of Water & Watersheds Immediate Office:		OFFICE CONTACT PERSON: Bella Patheal-Centenera, (206) 553-1256		REGIONAL RECORDS MANAGER: Joyce Aoyama, (206)553-2595	
Total Volume of Records for this File Station:		Total number of File Drawers: Legal Letter size:			
FILE PLAN					
AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
0 008	NONR 008	Nonrecords			
108-024-01-01 013	SUPR 013	Removal Records - Superfund Site-Specific Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic	Item a(1): Permanent Close inactive records at end of statute of limitations for initiation of cost recovery or when cost recovery settlement is reached, whichever is later. Transfer to the National Archives 15 years after file closure. Item a(2): Permanent Close inactive records at end of statute of limitations for initiation of cost recovery or when cost recovery settlement is reached, whichever is later. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	N1-412-06-13 Status: Final 12/31/2010	
108-024-01-02 014A	SUPR 014A	Remedial Site Files - Superfund Site-Specific Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic	Item a(1): Permanent Close inactive records at issuance of ROD for the site or operable unit and appropriate milestones thereafter. Transfer to the National Archives 30 years after file closure. Item a(2): Permanent Close inactive records at issuance of ROD for the site or operable unit and appropriate milestones thereafter. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, in a format as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	N1-412-06-14 Status: Final, 12/31/2010	
108-025-02 213	WATR 213	Water Quality Planning & Management Files Item a(1): Final plans and annual and biennial reports - Nonelectronic Item a(2): Final plans and annual and biennial reports - Electronic Item b: Supporting files	Item a(1): Permanent Close inactive records at end of year. Transfer to the National Archives 10 years after file closure. Item a(2): Permanent Close inactive records at end of year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item b: Disposable Close inactive records at end of year. Destroy 10 years after file closure.	N1-412-08-7/2 Status: Final, 2/28/2011	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
108-025-08 025	EPA 025	<u>Enforcement Actions - Superfund Site-Specific</u> Item a: No legal action required and routine legal action cases Item b(1): Landmark cases - Nonelectronic Item b(2): Landmark cases - Electronic Item b(3): Landmark cases - Electronic copy of records transferred to the National Archives	Item a: Disposable Close inactive records upon settlement or closing of case. Destroy 30 years after file closure. Item b(1): Permanent Close inactive records upon settlement or closing of case. Transfer to the National Archives 30 years after file closure. Item b(2): Permanent Close inactive records upon settlement or closing of case. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item b(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-19 Status: Final, 12/31/2010	
108-025-08 134	EPA 134	<u>National Environmental Policy Act (NEPA) Preparation Files</u> Item a(1)(a): Environmental impact statements (EISs) – Nonelectronic Item a(1)(b): Environmental impact statements (EISs) - Electronic Item a(1)(c): Environmental impact statements (EISs) - Electronic copy of records transferred to the National Archives Item a(2)(a): Environmental assessments (EAs) - Nonelectronic Item a(2)(b): Environmental assessments (EAs) - Electronic Item a(2)(c): Environmental assessments (EAs) - Electronic copy of records transferred to the National Archives. Item a(3)(a): Categorical exclusions (CEs) - Nonelectronic Item a(3)(b): Categorical exclusions (CEs) - Electronic Item a(3)(c): Categorical exclusions (CEs) - Electronic copy of records transferred to the National Archives	Item a(1)(a): Permanent Close inactive records upon preparation of record of decision or if project is withdrawn, upon official notification from the preparing office. Transfer to the National Archives 14 years after file closure. Item a(1)(b): Permanent Close inactive records upon preparation of record of decision or if project is withdrawn, upon official notification from the preparing office. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(1)(c): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item a(2)(a): Permanent Close inactive records upon completion of EA. Transfer to the National Archives 14 years after file closure. Item a(2)(b): Permanent Close inactive records upon completion of EA. Transfer electronic records to the National Archives 5 years after	N1-412-07-2/4 Status: Final 1/31/2011	
108-025-08 135	EPA 135	<u>309 Review and Comment Files</u> Item a(1)(a): Nonelectronic Item a(1)(b): Electronic Item a(1)(c): Electronic copy of records transferred to the National Archives Item a(2): 309 review report	Item a(1)(a): Permanent Close inactive records upon completion of project review after final comment issuance. Transfer to the National Archives 20 years after file closure. Item a(1)(b): Permanent Close inactive records upon completion of project review after final comment issuance. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(1)(c): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item a(2): Disposable Close inactive records at end of reporting cycle. Destroy 15 years after file closure.	N1-412-08-16 Status: Final 1/31/2011	

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
108-025-08 207	ENFO 207	<u>Enforcement Action Files:</u> Item a: Administrative case files, whether a formal enforcement action is initiated or not Item b: Judicial case files where routine legal actions are required Item c(1): Landmark or precedent cases - Nonelectronic Item c(2): Landmark or precedent cases - Electronic Item c(3): Landmark or precedent cases - Electronic copy of records transferred to the National Archives	Item a: Disposable Close inactive records upon settlement or closing of case. Destroy 10 years after file closure. Item b: Disposable Close inactive records upon settlement or closing of case. Destroy 20 years after file closure. Item c(1): Permanent Close inactive records upon settlement or closing of case. Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed. Item c(2): Permanent Close inactive records upon settlement or closing of case. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item c(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-07-2/9 Status: Final 12/31/2012	
108-025-08 211	EPA 211	Compliance Files			
114-041-01 390	EPA 390	U.S./Canadian Relations File			
204-079 205	EPA 205	<u>Permit Files</u> Item a(1):	Item a(1): Permanent Close inactive	N1-412-08-6	
301-091 082	EPA 082	Response to Audit, Evaluation, and Investigation			
301-093 006	PROG 006b	<u>Program Management Files - Correspondence/Subject Files</u> Item b: Other than senior officials	Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.	N1-412-06-6/2 Status: Final 12/31/09	
304-104-02 145	EPA 145	<u>Program Development Files</u> Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives	Item a(1): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-29 Status: Final 1/31/2011	
305-109 088	EPA 088c	<u>Bibliographic and Reference Systems:</u> Item c: Electronic data	Item c: Disposable Delete individual records 2 years after completion of action and when no longer needed.	N1-412-94-2/15 Status: Final 8/31/2012	
305-109-02-01 030	FOIA 030	Freedom of Information Act (FOIA) Requests Files			
305-109-02-01 033A	FOIA 033A	033 Freedom of Information Act (FOIA) Control Files			

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
305-109-02-04 140	EPA 140	<u>Speeches and Testimony</u> Item a(1): Senior officials - Nonelectronic Item a(2): Senior officials - Electronic Item a(3): Senior officials - Electronic copy of records transferred to the National Archives Item b: Other federal employees when the speeches are not necessary to document the Agency or its programs	Item a(1): Permanent Close inactive records at end of calendar year. Transfer to the National Archives 10 years after file closure. Item a(2): Permanent Close inactive records at end of calendar year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.	N1-412-06-8 Status: Final 1/31/2011	
305-109-02-04 200	EPA 200	<u>Training Material</u> Item a: Routine training materials Item c(1): Mission-related training materials - Nonelectronic Item c(2): Mission-related training materials - Electronic Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives	Item a: Disposable Close inactive records after course or material is superseded. Destroy 5 years after file closure. Item c(1): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure. Item c(2): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item c(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.	N1-412-06-11 Status: Final, 4/30/2012	
305-109-02-04 250	EPA 250	<u>Publications and Promotional Items</u> Item a(1): Items depicting EPA's environmental mission activities - Nonelectronic Item a(2): Items depicting EPA's environmental mission activities - Electronic Item a(3): Items depicting EPA's environmental mission activities - Electronic copy of records transferred to the National Archives Item b: Routine publications or promotional items Item c: Working papers and background materials	Item a(1): Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Destroy 5 years after file closure. Item c: Disposable Close inactive records after publication or when	N1-412-06-9 Status: Final, 04/30/2012	
305-109-02-04 459	EPA 459	Conferences, Seminars, Associations, and Societies Files			

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
306-112 007	DIRE 007 a, b	<u>Directives and Policy Guidance Documents Issued by Specific Programs and Regions</u> Item a(1): Published or released to the public and related background materials - Nonelectronic Item a(2): Published or released to the public and related background materials - Electronic Item b: Unpublished or not released to the public and related background materials	Item a(1): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure. Item a(2): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item b: Disposable Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.	N1-412-06-7 Status: Final, 12/31/2010	
306-114 149	REGS 149	Regulations, Standards, and Guidelines			
401 090	EPA 090	<u>Administrative Support Databases</u> Item a: When hard copy records are retained to meet recordkeeping requirements Item b: When the electronic record replaces hard copy records that support administrative housekeeping functions Item c: Hard copy printouts created for short-term administrative purposes	Item a: Disposable - Delete electronic version when no longer needed for administrative, legal, audit, or other operational purposes. Item b: Disposable - Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later. Item c: Disposable - Destroy when no longer needed for administrative, legal, audit, or other operational purposes.	GRS 20/3b(1) (Item a) GRS 20/3b(2) (Item b) GRS 20/3b(3) (Item c) Status: Final, 10/31/2013	
401 110	ADMI 110	Office Administrative Files	Item a: Disposable Destroy when 2 years old	GRS 23/1 Status: Final 1/31/2009	
401 111	EPA 111 b, c	<u>Calendars, Schedules, and Logs of Daily Activities</u> Item b: Other federal employees Item c: Routine materials	Item b: Disposable Close at end of calendar year. Destroy 2 years after file closure. Item c: Disposable Close at end of calendar year. Destroy when no longer needed.	N1-412-06-5 Status: Final 12/31/2010	
401 127	CORR 127	General Correspondence Files			
401 167	TRAN 167	Transitory Files - Chron/Reading File		GRS 23/7	
401 186	EPA 186a	<u>Committee Records Not Maintained by the Sponsor or Secretariat</u> Item a: Record copy	Item a: Disposable Destroy when 3 years old.	GRS 26/3 Status: Final 12/31/2009	
401 187	COMT 187 a, b	<u>Intra-Agency and Internal Committees</u> Item a: Committees related to EPA's environmental missions Item b: Committees unrelated to EPA's environmental missions	Item a: Disposable Close inactive records when committee superseded or canceled, at the completion of a significant activity (e.g., completion of a research report), or at the change of committee chair. Destroy 5 years after file closure. Item b: Disposable Destroy when no longer needed for administrative purposes	N1-412-07-1/8 (a) GRS 26/1a (b) Status: Final 12/31/2009	
402 673	EPA 673	Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities)			
402-124 054	EPA 054b/d	Integrated Financial Management System (IFMS)			
402-125 299	EPA 299b/d	<u>Budget Automation System (BAS)</u> Item b: Input Item d: Output and reports	Item b: Disposable Follow the instructions for EPA 171. Item d: Varies File with related records and follow instructions for the related records.	N1-412-09-1 Status: Final, 10/31/2009	
402-126 276	PERS 276	Time and Attendance Records			
403-254 279	EPA 279 >	Leave Records Item a(1): Leave application files - If employee initials time card or equivalent Item a(2): Leave application files - If employee has not initialed time card or equivalent Item b(2): Leave record - Maintained by creating office	Item a(1): Disposable Destroy at end of following pay period. Item a(2): Disposable Destroy after GAO audit or when 3 years old, whichever is sooner. Item b(2): Disposable Close inactive records when signed by supervisor. Destroy 3 years after clo	GRS 2/6a (Item a(1)) GRS 2/6b (Item a(2)) GRS 2/9b (Item b(2)) Status: Final 7/31/2009	
403-255-04 107	EPA 107	Employee Performance File System Records			

AGENCY FILE CODES	OLD FILE CODE	AGENCY CATEGORY TITLE SERIES TITLE	DISPOSAL INSTRUCTIONS	NARA DISPOSAL AUTHORITY	LOCATION
403-256 122	PERS 122	Supervisors' Personnel Files and Duplicate OPF Documentation			
404-141-02-01 141	CORR 141	<u>Controlled and Major Correspondence</u> Item a(1): Senior officials and assistants to those officials - Nonelectronic Item a(2): Senior officials and assistants to those officials - Electronic Item a(3): Senior officials and assistants to those officials - Electronic copy of records transferred to the National Archives Item b: Other federal employees	Item a(1): Permanent Close inactive records at end of year. Transfer to the National Archives in 5 year blocks, 20 years after file closure. Item a(2): Permanent Close inactive records at end of year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item b: Disposable Close inactive records at end of year. Destroy 10 years after file closure.	N1-412-06-10 Status: Final, 2/28/2011	
404-141-02-04 109	ADMI 109	EPA Forms	a: EPA form and documentation Includes instructions and documentation showing inception, scope, and purpose of the forms. Disposable Destroy 5 years after related form is discontinued, superseded, or canceled. b: Background materials Includes requisitions, specifications, processing data, and control records. Disposable Destroy when related form is discontinued, superseded, or canceled.	GRS 16/3	
405 036	BUDG 036	<u>Routine Procurement Files</u> Item a(1)(a): Procurement organization copy of transactions that exceed the thresholds, dated on or after July 3, 1995 Includes transactions and related papers that exceed the simplified acquisition threshold of Item b: Obligation copy held by Finance offices Item c: Other copies of records described above used by component elements of a procurement office for administrative purposes Item d: Data submitted to the Federal Procurement Data System (FPDS)	Item a(1)(a): Destroy 6 years, 3 months after file closure. Item a(1)(b): Destroy 3 years after file closure. Item a(2)(a): Destroy 6 years, 3 months after file closure	GRS 3/3 Status: Final 11/30/09	
405 202	CONT 202	Contract Management Records			
405 290	EPA 290	Administrative Reports and Data Relating to Procurement Operations Item a: Reports and data used for workload purposes Item b: All other reports and data	Item a: Disposable - Close inactive records at end of year. Destroy 6 years after file closure. Item b: Disposable - Close inactive records at end of year. Destroy 4 years after file closure.	N1-412-07-64/1 Status: Final, 03/31/2009	